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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/927,868	08/10/2001	Edward R. Howorka	

000002352
OSTROLENK FABER GERB & SOFFEN
1180 AVENUE OF THE AMERICAS
NEW YORK, NY 100368403

CONFIRMATION NO. 6935

FORMALITIES LETTER



OC000000006472949

Date Mailed: 08/27/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice **MUST** be returned with the reply.*

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PART 2 - COPY TO BE RETURNED WITH RESPONSE

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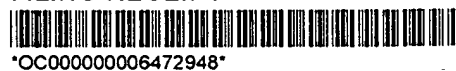
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/027,868	08/10/2001	2164	710		4	10	1

CONFIRMATION NO. 6935

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OSTROLENK FABER GERB & SOFFEN
1180 AVENUE OF THE AMERICAS
NEW YORK, NY 100368403

FILING RECEIPT



OC000000006472948

Date Mailed: 08/27/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

NJ
Edward R. Howorka, Morris Plains, NJ;

Assignment For Published Patent Application

EBS Dealing Resources, Inc.;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CON OF 09/029,181 06/15/1998 PAT 6,282,521
WHICH IS A 371 OF PCT/US96/14086 08/28/1996
WHICH CLAIMS BENEFIT OF 60/002,856 08/28/1995

Foreign Applications

If Required, Foreign Filing License Granted 08/24/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

Anonymous trading system with improved quote input capabilities

#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of **HOWORKA, E.** Our Ref.: P/3331-323

Serial No.: 09/927,868 Date: October 23, 2001

Filed: 8/10/01 Group Art Unit: --

Examiner: --

For: ANONYMOUS TRADING SYSTEM WITH IMPROVED QUOTE ...

Hon. Commissioner of Patents and Trademarks
Washington, DC 20231
Attention: Application Branch

**RESPONSE TO NOTICE TO FILE MISSING
PARTS OF APPLICATION - FILING DATE GRANTED**

Sir:

<input checked="" type="checkbox"/>	Notice to File Missing Parts of Application is attached along with the executed inventor(s) Declaration and our check which includes the amount of \$130.00.
<input type="checkbox"/>	Notice to File Missing Parts of Application is attached along with the executed inventor(s) Declaration, Verified English-language translation of the specification as filed and our check in the amount of \$260.00
<input type="checkbox"/>	Petition for a ____-month extension of time is respectfully requested. Our check in the amount of \$ ____ is attached.
<input type="checkbox"/>	Submitted herewith is a copy of art together with an ART LISTING FORM listing the same for the convenience of the Examiner.
<input type="checkbox"/>	FORMAL DRAWINGS - Sheet _ to _, Figures _ to _.
<input type="checkbox"/>	CERTIFIED COPY OF PRIORITY APPLICATION(S). Priority is Claimed under 35 U.S.C. §119: Convention Date __ for <u>Japan</u> Appln. S.N. __
<input checked="" type="checkbox"/>	Error(s) appear on the Official Filing Receipt. A copy of the same is marked in red. Correction of the error(s) is respectfully requested. The error(s) resulted from the Patent Office, thus, no fee is due.

In the event the actual fee is greater than the payment submitted or is inadvertently not enclosed or if any additional fee during the prosecution of this application is not paid, the Patent Office is authorized to charge the underpayment to Deposit Account #15-0700. If this communication is filed after the time period had elapsed and no separate Petition is enclosed, the Commissioner of Patents and Trademarks is petitioned, under 37 C.F.R. §1.136(a), to extend the time for filing a response by the number of months which will avoid abandonment under 37 C.F.R. §1.135. The fee under 37 C.F.R. § 1.17 should be charged to our Deposit Account No. 15-0700.

EXPRESS MAIL CERTIFICATE

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EL613109952US) in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231-9999, on October 23, 2001:

Dorothy Jenkins
Name of Person Mailing Correspondence
Dorothy Jenkins
Signature
October 23, 2001
Date of Signature

Respectfully submitted,

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SIW:sks

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